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PTO/SB/21 (08-00)

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Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	<b>Application Number</b>	09/916,648	
	<b>Filing Date</b>	07/30/01	
	<b>First Named Inventor</b>	BIRK et al.	
	<b>Group Art Unit</b>	TBA	
	<b>Examiner Name</b>	TBA	
<b>Total Number of Pages in This Submission</b>	5	<b>Attorney Docket Number</b>	03493.00130

ENCLOSURES <i>(check all that apply)</i>		
<input type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers <i>(for an Application)</i>  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i>  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i>  <b>Preliminary Amendment</b>
<b>Remarks</b>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Catherine A. Ferguson
Signature	<i>Catherine A. Ferguson</i>
Date	September 6, 2001

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <input type="text"/>			
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

**BIRK et al.**

Serial No.: TBA

Filed: July 30, 2001

For: SIMULTANEOUS DELIVERY OF 1280  
VIDEO OVER Q WDM PASSIVE OPTICAL  
DEVICE

Atty. Docket No.: 03493.00130

Group Art Unit: TBA

Examiner: TBA

#5

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with Applicants' duty of disclosure, the following information is submitted for consideration by the United States Patent and Trademark Office in connection with the above-captioned application. The information is identified on the attached PTO 1449 form.

Applicants do not waive any right to take appropriate action to establish patentability over the listed documents should they be applied as references against the claims of the present application.

It is respectfully requested that the Examiner fully consider each of the documents, initial the enclosed Form PTO-1449 in the appropriate place to indicate that the document has been considered, and return a copy of the initialed form to the undersigned in accordance with MPEP Section 609.

Applicants believe that no fee is necessary pursuant to 37 C.F.R. § 1.97(b). However, if a fee is due, the Office is authorized to charge Deposit Account No. 19-0733.

Respectfully submitted,

BANNER & WITCOFF, LTD.

Dated: September 6, 2001

Catherine A. Ferguson  
Catherine A. Ferguson  
Registration No. 40,877



PTO-1449 (Modified)	ATTY. DOCKET NO.	SERIAL NUMBER
U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	03493.00130	TBA
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
	APPLICANT	
	BIRK, et al.	
	FILING DATE	GROUP ART UNIT
	July 30, 2001	TBA

#### U.S. PATENT DOCUMENTS

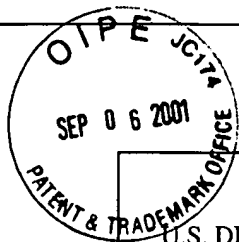
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE

#### FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

#### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Demonstration and Application of a Monolithic Two-PONs-In-One Device, Yuan P. Li, Lucent Technologies, Bell Laboratories ECOC'96, Oslo, pgs.2.123-2.126
	Lightwave Systems with Optical Amplifiers, Journal of Lightwave Technology, Vol. 7, No. 7, July 1989, pgs. 1071-1082, N.A. Olsson
	An NxN Optical Mutiplexer Using a Planar Arrangement of Two Star Couplers, IEEE Photonics Technology Letters, Vol. 3, No. 9, September 1991, pgs. 812-815, 1991, C. Dragone
	Operational Demonstration and Filter Alignment Study of Multiple Broadcast Video Delivery on a WDM Passive Optical Network, IEEE Photonics Technology Letter, Vol. 10, No. 9, September 1998, pgs, 1331-1333, K.C. Reichmann et al.



PTO-1449 (Modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT BY APPLICANT	ATTY. DOCKET NO.  03493.00130	SERIAL NUMBER  TBA
	APPLICANT  BIRK, et al.	
	FILING DATE  July 30, 2001	GROUP ART UNIT  TBA

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Experimental WDM Upgrade of a PON Using an Arrayed Waveguide Grating, 22 <sup>nd</sup> European Conference on Optical Communication '96, Oslo, pgs. 3.31-3.34, Hilbk U. et al.
	Long-Reach Broadcast Digital Video Using Broad Sources and Dispersion Compensation, ECOC '98, 20-24, September 1998, Madrid, Spain, pgs. 371-372, K.C. Reichmann et al.
	High-Speed Point-to-Point and Multiple Broadcast Services Delivered over a WDM Passive Optical Network, IEEE, Photonics Technology Letters, Vol. 10, No. 9, September 1998, pgs. 1328-1330, P. P. Iannone et al.

EXAMINER	DATE CONSIDERED
EXAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant.	